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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. GEH-01-064

First Inventor John Belcea

Title ADAPTIVE TRAIN MODEL

Express Mail Label No. EL069309088US

JC944 U.S. P
00/712976

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)

2. Application claims small entity status.
 See 37 CFR 1.27

3. Specification [Total Pages 42]
(Preferred arrangement set forth below)

 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (*if filed*)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure

4. Drawing(s) (35 USC 113) [Total Sheets 5]

5. Oath or Declaration [Total Pages]

a. Newly executed (original or copy)

b. Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)

i. DELETION OF INVENTOR(S)
 Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. CD-ROM or CD-R in duplicate, large table or Computer Program (*Appendix*)
 8. Nucleotide and/or Amino Acid Sequence Submission
(If applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))

10. 37 CFR 3.73(b) Statement Power of Attorney (when there is an assignee) For Identification of Inventor Only

11. English Translation Document (*if applicable*)

12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations

13. Preliminary Amendment

14. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

15. Certified Copy of Priority Document(s)
(If foreign priority is claimed)

16. Request and Certification under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17. Other: Declaration and Power of Attorney for identification of inventors only; and Express Mail Certificate

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No.: _____ / _____

Prior application information:

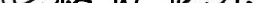
Examiner:

Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label		(Insert Custom No. or Attach bar code label here)		or <input checked="" type="checkbox"/> Correspondence address below		
Name	John S. Beulick, Reg. No. 33,338					
	Armstrong Teasdale LLP					
Address	One Metropolitan Sq., Suite 2600					
City	St. Louis	State	Missouri		Zip Code	63102
Country	US	Telephone	(314) 621-5070		Fax	(314) 621-5065

Name (Print/type)	Patrick W. Rasche	Registration No. (Attorney/Agent)	37,916
Signature		Date	December 29, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Office, Patent and trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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U.S. PTO

FEE TRANSMITTAL for FY 2001

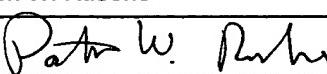
Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1,160.00)

Complete If Known	
Application Number	
Filing Date	
First Named Inventor	John Belcea
Group Art Unit	
Examiner Name	
Attorney Docket Number	GEH-01-064

METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)			
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number 01-2384 Deposit Account Name <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.16 and 1.17				3. ADDITIONAL FEES Large Entity Small Entity Fee Fee Fee Fee Code (\$) Code (\$) Code (\$) Fee Description 105 130 205 65 Surcharge - late filing fee or oath 127 50 227 25 Surcharge-late provisional filing fee or cover sheet 139 130 139 130 Non-English specification 147 2520 147 2520 For filing a request for ex parte reexamination 112 920* 112 920* Requesting publication of SIR prior to Examiner action 113 1840* 113 1840* Requesting publication of SIR after Examiner action 115 110 215 55 Extension for reply within first month 116 390 216 195 Extension for reply within second Month 117 890 217 445 Extension for reply within third month 118 1390 218 695 Extension for reply within fourth month 128 1890 228 945 Extension for reply within fifth month 119 310 219 155 Notice of Appeal 120 310 220 155 Filing a brief in support of an appeal 121 270 221 135 Request for oral hearing 138 1510 138 1510 Petition to institute a public use proceeding 140 110 240 55 Petition to revive – unavoidable 141 1240 241 620 Petition to revive – unintentional 142 1240 242 620 Utility issue fee (or reissue) 143 440 243 220 Design issue fee 144 600 244 300 Plant issue fee 122 130 122 130 Petitions to the Commissioner 123 50 123 50 Petitions related to provisional applications 126 180 126 180 Submission of Information Disclosure Stmt 581 40 581 40 Recording each patent assignment per property (times number of properties) 146 710 246 355 Filing a submission after a final rejection (37-CFR 1.129(a)) 149 710 249 355 For each additional invention to be examined (37 CFR 1.129(b)) 179 710 279 355 Request for Continued Examination (RCE) 169 900 169 900 Request for expedited examination of a design application Other fee (specify) _____			
2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other							
FEE CALCULATION							
1. BASIC FILING FEE							
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid		
101	710	201	355	Utility Filing Fee	710.00		
106	320	206	160	Design Filing Fee			
107	490	207	245	Plant Filing Fee			
108	710	208	355	Reissue filing Fee			
114	150	214	75	Provisional Filing Fee			
SUBTOTAL (1)					710.00		
2. EXTRA CLAIM FEES							
Total Claims	45	-20**	25	x 18	= 450.00		
Independent Claims	3	-3*	0	x 80	= 0		
Multiple Dependant				x 	= 		
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description			
103	18	203	9	Claims in excess of 20			
102	80	202	40	Independent claims in excess of 3			
104	270	204	135	Multiple dependent claim, if not paid			
109	80	209	40	**Reissue independent claims over original patent			
110	18	210	9	**Reissue claims in excess of 20 and over original patent			
SUBTOTAL (2)					450.00		
*Reduced by Basic Filing Fee Paid SUBTOTAL (3)							

**or number previously paid, if greater; For Reissues, see above

SUBMITTED BY				Complete (if applicable)	
Name (Print/Type)	Patrick W. Rasche	Registration No. (Attorney/Agent)	37,916	Telephone	(314) 621-5070
Signature				Date	December 29, 2000

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2036.

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CERTIFICATE OF MAILING BY EXPRESS MAIL TO
THE COMMISSIONER OF PATENTS AND TRADEMARKS

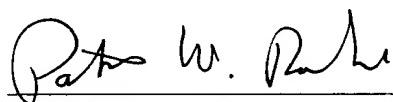
Express Mail mailing label number: **EL069309088US**

Date of Mailing: **December 29, 2000**

I certify that the attached utility patent application claiming the benefit of Provisional Application Serial No. 60/173,602 filed December 29, 1999 of **JOHN BELCEA** for **ADAPTIVE TRAIN MODEL**, including:

- Utility Patent Application Transmittal (1 pg)
- Request and Certification Under 35 USC 122(b)(2)(B)(i)
- Fee Transmittal (1 page, in duplicate)
- Thirty-two (32) pages of specification; nine (9) pages of claims; and one (1) page of abstract
- Five (5) sheets of drawings
- Declaration and Power of Attorney , for identification of Inventors only (2 pgs.)
- Certificate of Mailing Via Express Mail (1 page)
- Return post card

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above in an envelope addressed to the Assistant Commissioner for Patents, Box PATENT APPLICATION, Washington, D.C. 20231.



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REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)		First Named Inventor	John Belcea
		Title	ADAPTIVE TRAIN MODEL
		Atty Dkt. Number	GEH-01-064

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

December 29, 2000

Date

Signature

Patrick W. Rasche, Reg. No. 37,916

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.